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## FEE TRANSMITTAL FOR FY 2004

(FY 2004 Begins 10/01/2003)

AUG 09 2004

Complete if Known  
Application No. 09/552,292

Filing Date April 19, 2000

First Named Inventor Robison

Examiner Name Gross, Kenneth A.

Art Unit 2122

Attorney Docket No. 042390.P11329

 Applicant claims small entity status. See 37 CFR 1.2

## FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Date of Deposit: July 28, 2004

Name of Person Mailing Correspondence: Leah Schwenke

*Leah Schwenke*

July 28, 2004

Date

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## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
1001	770	2001	385
1002	340	2002	170
1003	530	2003	265
1004	770	2004	385
1005	160	2005	80
		Utility application filing fee	
		Design application filing fee	
		Plant filing fee	
		Reissue filing fee	
		Provisional application filing fee	

SUBTOTAL (1) \$ 0.00

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	- 20** =	X	=
Independent Claims	- 3** =	X	=
Multiple Dependent			=

\*\*Or number previously paid, if greater; For Reissues, see below.

## Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code	(\$)	Code	(\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 0.00

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	
Code	(\$)	Code	(\$)
1051	130	2051	65
1052	50	2052	25
1053	130	1053	130
1812	2,520	1812	2,520
1813	8,800	1813	8,800
1804	920*	1804	920*
1805	1,840*	1805	1,840*
1251	110	2251	55
1252	420	2252	210
1253	950	2253	475
1254	1,480	2254	740
1255	2,010	2255	1,005
1401	330	2401	165
1402	330	2402	165
1403	290	2403	145
1451	1,510	1451	1,510
1452	110	2452	55
1453	1,330	2453	665
1501	1,330	2501	665
1502	480	2502	240
1503	640	2503	320
1460	130	1460	130
1807	50	1807	50
1806	180	1806	180
8021	40	8021	40
1809	770	2809	385
1814	110	2814	55
1810	770	2810	385
1801	770	2801	385
1802	900	1802	900
1504	300	1504	300
1505	300	1505	300
1803	130	1803	130
1808	130	1808	130
1454	1,330	1454	1,330
Acceptance of unintentionally delayed claim for priority			

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 330.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

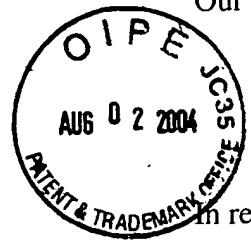
Typed or Printed Name: Mark L. Watson

Signature: \_\_\_\_\_ Date: July 28, 2004

Reg. Number: 46,322 Telephone Number: 303-740-1980

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Our Docket No.: 42P11329



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Arch D. Robison

) Examiner: Gross, Kenneth A.

Application No.: 09/552,292

) Art Group: 2122

Filed: April 19, 2000

)

For: Data-Flow Method for Optimizing  
Exception-Handling Instructions in  
Programs

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Technology Center 2100

APPEAL BRIEF  
IN SUPPORT OF APPELLANT'S APPEAL  
TO THE BOARD OF PATENT APPEALS AND INTERFERENCES

Sir:

Appellant hereby submits this Brief in triplicate in support of its appeal from a final decision by the Examiner, mailed March 2, 2004, in the above-referenced Application. Appellant respectfully requests consideration of this appeal by the Board of Patent Appeals and Interferences for allowance of the above-captioned patent application.

An oral hearing is not desired.

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## **I. REAL PARTY IN INTEREST**

The invention is assigned to Intel Corporation of 2200 Mission College Boulevard, Santa Clara, California 95052.

## **II. RELATED APPEALS AND INTERFERENCES**

To the best of Appellant's knowledge, there are no appeals or interferences related to the present appeal that will directly affect, be directly affected by, or have a bearing on the Board's decision.

## **III. STATUS OF THE CLAIMS**

Claims 1-6 and 10-17 are currently pending in the above-referenced application. In the Final Office Action mailed March 2, 2004, claims 1, 2, 10, 13 and 14 stand rejected under U.S.C. §103(a) as being unpatentable over "How Debuggers Work," by Jonathan B. Rosenberg, 1996 ("Rosenberg"), in view of Wallace et al. (U.S. Patent No. 6,018,799) ("Wallace") and further in view of Lo et al. (U.S. Patent No. 6,151,706) ("Lo"). In addition, claims 3 and 15 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Rosenberg in view of Wallace and further in view of Lo and Gordon et al. (U.S. Patent No. 6,507,805) ("Gordon"). Further, claims 4, 5, 11, 12, 16 and 17 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Rosenberg in view of Lo and further in view of Dunn et al. (U.S. Patent No. 6,247,172) ("Dunn"). Finally, Claim 6 stands rejected under 35 U.S.C. §103(a) as being unpatentable over Rosenberg in view of Lo and further in view of Dunn and Gordon.

#### **IV. STATUS OF AMENDMENTS**

In response to the Final Office Action mailed on March 2, 2004, rejecting claims 1-6 and 10-17 under 35 U.S.C. §103(a), Appellant filed an Amendment After Final pursuant to 37 C.F.R. § 1.116 on March 30, 2004. Subsequently, an Advisory Action was mailed on April 16, 2004. In response, Appellant filed a Notice of Appeal on June 2, 2004. A copy of all claims on appeal is attached hereto as an Appendix of Claims.

#### **V. SUMMARY OF THE INVENTION**

According to one embodiment, a method is described. The method includes analyzing a program to determine the state of a data structure at selected program points, partitioning the determined state at each program point into components that may each be set separately, determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points, and placing the operations to eliminates partial redundancies of the operations.

In a further embodiment, another method is described. The method includes analyzing a program to determine the state of an instance of a data structure at selected program points, partitioning said instance of said data structure into components, determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points, computing placement of the set of operations to eliminate partial redundancies, and inserting the set of operations at the program points according to the computed placement.

In yet another embodiment, a machine-readable medium is disclosed having a set of instructions which when executed by a set of one or more processors causes the set of processors to perform analyzing a program to determine the state of an instance of a data structure at selected program points, partitioning said instance of said data structure into components, determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points, computing placement of the set of operations to eliminate partial redundancies, and inserting the set of operations at the program points according to the computed placement.

**VI. ISSUES PRESENTED**

Whether claims 1, 2, 10, 13 and 14 are patentable over *Rosenberg, Wallace, and Lo* in view of 35 U.S.C. §103(a);

Whether claims 3 and 15 are patentable over *Rosenberg, Wallace, Lo and Gordon* under U.S.C. §103(a);

Whether claims 5, 11, 12, 16 and 17 are patentable over *Rosenberg, Lo and Dunn* under U.S.C. §103(a); and

Whether claim 6 is patentable over *Rosenberg, Lo, Dunn and Gordon* under U.S.C. §103(a).

**VII. GROUPING OF CLAIMS**

The claims stand and fall together.

For the purposes of this appeal claims 1-6 and 10-17 stand or fall together as Group I.

## VIII. ARGUMENT

### 1. Claim Group I

(A) **THE PENDING CLAIMS WERE IMPROPERLY REJECTED UNDER 35 U.S.C. § 103(a) BECAUSE ROSENBERG, WALLACE, AND LO DO NOT DISCLOSE OR SUGGEST DETERMINING A SET OF ONE OR MORE OPERATIONS TO BE INSERTED INTO THE PROGRAM IN ORDER TO SET EACH COMPONENT OF THE STATE AT EACH SELECTED PROGRAM POINT, WHEREIN THE OPERATIONS ASSURE THAT THE DATA STRUCTURE WILL BE IN AN ACCURATE STATE AT THE SELECTED PROGRAM POINTS**

Appellant respectfully submits that *Rosenberg*, *Wallace*, and *Lo* fail to disclose or suggest the claimed invention for the reasons set forth below.

Each claim in Claim Group I recites an element that is not disclosed in *Rosenberg*, *Wallace*, or *Lo*. For example, Appellant's claim 1 recites the following:

For a computer-executable program that operates on a data structure, where the data structure must have a required state at selected program points, a method of transforming said program comprising:

- (A) analyzing the program to determine the state of said data structure at said selected program points;
- (B) partitioning said determined state at each said program point into components that may each be set separately;
- (C) determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points; and
- (D) placing said operations to eliminate partial redundancies of said operations.

Appellant's claim 10 recites:

For a computer-executable program that operates on a data structure, where the data structure must have a required state at selected program points, a method of transforming said program comprising:

- (A) analyzing the program to determine the state of an instance of said data structure at said selected program points;
- (B) partitioning said instance of said data structure into components;
- (C) determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points;
- (D) computing placement of the set of operations to eliminate partial redundancies; and
- (E) inserting the set of operations at said program points according to the computed placement.

Appellant's claim 13 recites:

A machine-readable medium having a set of instructions, which when executed by a set of one or more processors, causes said set of processors to perform operations comprising:

- (A) analyzing a program that operates on a data structure, which must have a required state at selected program points in the program, to determine the state of an instance of said data structure at said selected program points;
- (B) partitioning said instance of said data structure into components;
- (C) determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points;
- (D) computing placement of the set of operations to eliminate partial redundancies; and
- (E) inserting the set of operations at said program points according to the computed placement.

*Rosenberg* describes stack unwinding, which employs an algorithm for finding traces on a stack. Commands are implemented to unwind a stack to find a parent procedure's frame pointer and return address. See *Rosenberg* at page 136, lines 23-30.

The algorithm for unwinding a traditional stack involves pushing return addresses onto

the stack. A procedure call pushes a return address onto the stack and a child procedure pushes the parent's frame pointer address onto the stack. See *Rosenberg* at page 137, lines 23-29.

*Lo* discloses a method a system and method for extending sparse partial redundancy elimination (PRE) to support speculative code motion within an optimizing compiler. See *Lo* at col. 3, ll. 23-25.

*Wallace* discloses enabling a compiler to generate efficient code to access stack registers on a register stack. See *Wallace* at Abstract. In particular, a pseudo-register mapping process for mapping pseudo-registers to stack registers within the register stack is disclosed. The process includes an `iterate each instruction` procedure, which iterates each instruction in a basic block. Each instruction iterated by the `iterate each instruction` procedure is checked to determine whether the instruction accesses a pseudo-register at a `floating point register instruction` decision procedure. If the iterated instruction accesses a pseudo-register, the process continues to a `stack state change` decision procedure that determines whether the iterated instruction requires a permutation to the register stack (and the associated register stack state). If the `stack state change` decision procedure determines that the iterated instruction requires a stack permutation, the process continues to an `insert register stack permutation instruction` procedure, which inserts instructions to place the register stack in a condition appropriate for the iterated instruction. Next, the register stack state is updated by an `update mapping state` procedure. Thus, the register stack state is responsive to changes in the position of the stack registers in the register stack. Thus, the compiler maintains the state of the register stack responsive to the operation of each instruction that accesses the register stack. See *Wallace* at col. 12, ll. 25 – col. 13, ll. 17.

Appellant submits that none of the above describe references disclose or suggest determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points. However, the Examiner maintains that *Rosenberg* discloses a process of determining operations to be inserted into the program in order to set each component of the state at each selected program point. For instance, the Examiner asserts:

Rosenberg teaches storing addresses and variables on the stack, which is done with a push or similar command for storing information into a stack (page 137, lines 28-32). These ‘push’ commands sets a component, or frame of the stack by pushing information (such as addresses and variables) onto the stack, updating the state of the stack.

(See Final Office Action at page 2, paragraph 8, lines 5-9).

Appellant disagrees with the Examiner’s characterization of the *Rosenberg* reference. While *Rosenberg* discloses a procedure call that pushes a return address onto a stack and a child procedure that pushes a parent’s frame pointer address onto the stack, there is no mention of the push commands functioning to set a component. Notwithstanding the Examiner’s characterization, Appellant submits that *Rosenberg* does not disclose or suggest a process of determining operations to be inserted into the program in order to set each component of the state at each selected program point. Setting a component of a stack and updating the state of the stack for storing information into a stack, as maintained by the Examiner, is not equivalent to determining operations to be inserted into the program in order to set each component of the state at each selected program point.

In addition, the Examiner asserts that *Wallace* teaches “inserting instructions into a program in order to update the state of a stack, hence ensuring that the stack is in a correct state at selected program points. See Final Office Action at page 2, paragraph 8, lines 9-10.

As discussed above *Wallace* does not disclose or suggest determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points. Particularly, *Wallace* does not disclose a process of determining operations to be inserted into a program in order to set each component of a state at each selected program point. Instead, *Wallace* discloses inserting instructions to place a register stack in a condition appropriate for an iterated instruction. Appellant submits that placing a register stack in a condition appropriate for an iterated instruction is not equivalent to inserting operations into a program to set each component of a state at each selected program point.

Since neither *Rosenberg*, *Wallace* nor *Lo* disclose or suggest determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points, any combination of *Rosenberg*, *Wallace* and *Lo* would also not disclose or suggest such a feature. Therefore, Claim Group I is patentable over *Rosenberg* in view of *Wallace* and further in view of *Lo*.

For the foregoing reasons, Appellant submits that the Examiner has failed to establish a *prima facie* case of obviousness as set forth in MPEP § 706.02(j). Specifically, the Examiner has failed to show that “[t]he teaching or suggestion to make

the claimed combination ... [is] found in the prior art, and not based on Appellant's disclosure," as required by In re Vaeck, 947 F.2d 488 (Fed. Cir. 1991).

Claims 2-6 depend from claim 1, claims 11 and 12 depend from claim 11, and claims 14-17 depend from claim 13. Given that dependent claims necessarily include the limitations of the claims from which they depend, Appellant submits that the invention as claimed in claim 2-6, 11, 12 and 14-17 are similarly patentable over *Rosenberg* in view of *Wallace* and further in view of *Lo*.

Thus, the Examiner erred in rejecting claims 1, 2, 10, 13 and 14 under U.S.C. § 103(a).

**(B) THE PENDING CLAIMS WERE IMPROPERLY REJECTED UNDER 35 U.S.C. § 103(a) BECAUSE ANY COMBINATION OF ROSENBERG, WALLACE, LO, GORDON AND DUNN DO NOT DISCLOSE OR SUGGEST DETERMINING A SET OF ONE OR MORE OPERATIONS TO BE INSERTED INTO THE PROGRAM IN ORDER TO SET EACH COMPONENT OF THE STATE AT EACH SELECTED PROGRAM POINT, WHEREIN THE OPERATIONS ASSURE THAT THE DATA STRUCTURE WILL BE IN AN ACCURATE STATE AT THE SELECTED PROGRAM POINTS**

Claims 3 and 15 of Claim Group I are not obvious in view of *Rosenberg, Wallace, Lo* and *Gordon* under 35 U.S.C. § 103(a). *Gordon* discloses a method for building a call stack tree for a software program. See *Gordon* at col. 18, ll. 25-30. Nonetheless, *Gordon* does not disclose or suggest determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points.

As discussed above, neither *Rosenberg, Wallace* nor *Lo* disclose or suggest determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points. As a result, any combination of *Rosenberg, Wallace, Lo* and *Gordon* would also not disclose or suggest such a feature.

Claims 4, 5, 11, 12, 16 and 17 of Claim Group I are not obvious in view of *Rosenberg, Wallace, Lo* and *Dunn* under 35 U.S.C. § 103(a). *Dunn* discloses a translating software emulator designed for converting code from a legacy system to a target system and fully preserving the synchronous exception state while allowing for full and aggressive optimization in the translation. See *Dunn* at Abstract. However, *Dunn*

does not disclose or suggest determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points.

As discussed above, *Rosenberg*, *Wallace* nor *Lo* disclose or suggest such a feature. Therefore, any combination of *Rosenberg*, *Wallace*, *Lo* and *Dunn* would also not disclose or suggest determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points.

Claim 6 of Claim Group I is not obvious in view of *Rosenberg*, *Wallace*, *Lo*, *Dunn* and *Gordon* under 35 U.S.C. § 103(a). For the reasons described above, any combination of *Rosenberg*, *Wallace*, *Lo*, *Dunn* and *Gordon* would not disclose or suggest determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points.

For the foregoing reasons, Appellant submits that the Examiner has failed to establish a *prima facie* case of obviousness as set forth in MPEP § 706.02(j). Specifically, the Examiner has failed to show that “[t]he teaching or suggestion to make the claimed combination ... [is] found in the prior art, and not based on Appellant’s disclosure,” as required by *In re Vaeck*, 947 F.2d 488 (Fed. Cir. 1991).

Thus, the Examiner erred in rejecting claims 3-6, 11, 12 and 15-17 under 35 U.S.C. § 103(a) in view of the various combinations of *Rosenberg*, *Wallace*, *Lo*, *Dunn* and *Gordon*.

## IX. CONCLUSION

Careful review of the Examiner's rejections shows that the Examiner has failed to provide any reference, or combination of references of the prior art that shows all of the elements of each appealed claim. Therefore, Appellant respectfully submits that all appealed claims in this application are patentable and were improperly rejected by the Examiner during prosecution before the United States Patent and Trademark Office. Appellant respectfully requests that the Board of Patent Appeals and Interferences overrule the Examiner and direct allowance of the rejected claims.

This brief is submitted in triplicate, along with a check for \$330.00 to cover the appeal fee for one other than a small entity as specified in 37 C.F.R. § 1.17(c). Please charge any shortages and credit any overcharges to our Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: July 28, 2004

\_\_\_\_\_  
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**X. APPENDIX OF CLAIMS (37 C.F.R. § 1.192(c)(9))**

The claims on appeal read as follows:

1. For a computer-executable program that operates on a data structure, where the data structure must have a required state at selected program points, a method of transforming said program comprising:
  - (A) analyzing the program to determine the state of said data structure at said selected program points;
  - (B) partitioning said determined state at each said program point into components that may each be set separately;
  - (C) determining operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points; and
  - (D) placing said operations to eliminates partial redundancies of said operations.
2. The method of claim 1, wherein the data structure stores items on a first-in-last-out basis.
3. The method of claim 2, wherein the states of the data structure are represented as paths on a tree of nodes where:
  - (A) each path traverses the tree towards the root; and
  - (B) each node on the path represent a component of the state.
4. The method of claim 2, wherein the data structure represents actions to be taken by the program if an exception occurs.

5. The method of claim 4, wherein the selected program points are the points of execution immediately before instructions that might cause an exception.

6. The method of claim 4, further comprising representing the actions to be taken as exception paths in a graph.

10. For a computer-executable program that operates on a data structure, where the data structure must have a required state at selected program points, a method of transforming said program comprising:

- (A) analyzing the program to determine the state of an instance of said data structure at said selected program points;
- (B) partitioning said instance of said data structure into components;
- (C) determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points;
- (D) computing placement of the set of operations to eliminate partial redundancies; and
- (E) inserting the set of operations at said program points according to the computed placement.

11. The method of claim 10 wherein the data structure is an exception handling stack.

12. The method of claim 11 wherein the components are a pointer to the exception handling stack and an exception handling data structure.

13. A machine-readable medium having a set of instructions, which when executed by a set of one or more processors, causes said set of processors to perform operations comprising:

- (A) analyzing a program that operates on a data structure, which must have a required state at selected program points in the program, to determine the state of an instance of said data structure at said selected program points;
- (B) partitioning said instance of said data structure into components;
- (C) determining a set of one or more operations to be inserted into the program in order to set each component of the state at each selected program point, wherein the operations assure that the data structure will be in an accurate state at the selected program points;
- (D) computing placement of the set of operations to eliminate partial redundancies; and
- (E) inserting the set of operations at said program points according to the computed placement.

14. The machine-readable medium of claim 13, wherein the data structure stores items on a first-in-last-out basis.

15. The machine-readable medium of claim 14, wherein the states of the data structure are represented as paths on a tree of nodes where:

- (A) each path traverses the tree towards the root; and
- (B) each node on the path represent a component of the state.

16. The machine-readable medium of claim 14, wherein the data structure represents actions to be taken by the program if an exception occurs.

17. The machine-readable medium of claim 16, wherein the selected program points are the points of execution immediately before instructions that might cause an exception.